



12-29-03

Patent Docket P1245R1P2BC1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>In re Application of</p> <p>Avi Ashkenazi et al.</p> <p>Serial No.: 10/660,128</p> <p>Filed: September 11, 2003</p> <p>For: DR4 Antibodies and Uses Thereof</p>	<p>Group Art Unit: to be assigned</p> <p>Examiner: to be assigned</p> <p><b>Customer No: 09157</b></p>
	<p><b>CERTIFICATE OF EXPRESS MAILING</b></p> <p>Express Mail Number: <u>EV 351 928 645 US</u></p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450".</p> <p>December <u>24</u>, 2003</p> <p><i>Diane L. Marschang</i></p> <p>Diane L. Marschang</p>

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

1. Information Disclosure Statement;
2. Form PTO-1449 with 12 References;
3. Return postcard.

In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 07-0630.

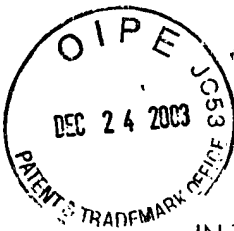
Respectfully submitted,

GENENTECH, INC.

Date: December 24, 2003

By: *Diane L. Marschang*  
Diane L. Marschang  
Reg. No. 35,600  
Telephone No. (650) 225-5416

#144794



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>In re Application of Avi Ashkenazi et al. Serial No.: 10/660,128 Filed: September 11, 2003 For: DR4 Antibodies and Uses Thereof</p>	<p>Group Art Unit: to be assigned Examiner: to be assigned CUSTOMER NO: 09157</p> <hr/> <p><b>CERTIFICATE OF EXPRESS MAILING</b> Express Mail Number: <u>EV 351 928 645 US</u> I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450".  December <u>24</u>, 2003 <i>Diane L. Marschang</i> Diane L. Marschang</p>
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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

[X] **37 CFR § 1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR § 1.53(d); **or**
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491, **or**
- before the mailing of the first Office action on the merits; **or**
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR § 1.114.

☐ **37 CFR §1.97(c)**

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) **or** a statement as specified in 37 CFR §1.97(e), as checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) **and** a statement as specified in 37 CFR §1.97(e), as checked below.

[If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.]

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☐ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patents or publications is set forth on the attached revised Form PTO-1449 (Modified). A copy of item numbers 1, 2, 3, 4, 7, 11, 13, 14, 15, 39, 57 and 64 on PTO-1449 is supplied herewith. Those patents or publications which are marked with an asterisk (\*) in the attached PTO-1449 form are not supplied because they were previously cited by or submitted to the Office in a prior application Serial No. 09/584,166, filed 25 May 2000 and relied upon in this application for an earlier filing date under 35 USC §120.

☐ BLAST results enclosed:

The undersigned also wishes to bring to the attention of the Examiner BLAST results of computerized alignments of the against sequences contained in the nucleotide and protein databases. The BLAST results are provided in paper form and are identified as reference "BLAST Results A-1 - A-()" (nucleotide) and "BLAST Results B-1 - B-()" (protein) on the PTO Form 1449. Applicant requests that these references also be considered and that the Form 1449 be initialed to indicate the Examiner's consideration of the references.

A concise explanation of relevance of the items listed on PTO-1449 is:

☒ not given

☐ given for each listed item

☐ given for only non-English language listed item(s) [Required]

☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.


In accordance with 37 CFR § 1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR § 1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 for this Information Disclosure Statement, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

By:   
Diane L. Marschang  
Reg. No. 35,600  
Telephone No. (650) 225-5416

Date: December 24, 2003

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FORM PTO-1449

U.S. Dept. of Commerce  
Patent and Trademark Office

Atty Docket No.

P1245R1P2BC1

Serial No.

10/660128

Applicant

Ashkenazi et al.

Filing Date

11 Sep 2003

Group

## LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	1	2003/0036168	20.02.03	Ni et al.			
	2	2003/0073187	17.04.03	Ni et al.			
	3	2003/0108516	12.06.03	Ni et al.			
	4	2003/0133932	17.07.03	Zhou et al.			
	* 5	5,763,223	09.06.98	Wiley et al.			
	* 6	6,342,363 B1	29.01.02	Ni et al.			
	7	6,429,186	06.08.02	Fuh et al.			
	* 8	6,433,147	13.08.02	J. Ni et al.			
	* 9	6,461,823	08.10.02	Ni et al.			

## FOREIGN PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No
	* 10	WO 00/67793	16.11.00	PCT			
	11	WO 02/094880	28.11.02	PCT			
	* 12	WO 02/097033	05.12.02	PCT			
	13	WO 03/037913	08.05.03	PCT			
	14	WO 03/038043	08.05.03	PCT			
	15	WO 03/042367	22.05.03	PCT			
	* 16	WO 92/15698	17.09.92	PCT			
	* 17	WO 97/01633	16.01.97	PCT			
	* 18	WO 97/25428	17.07.97	PCT			
	* 19	WO 98/32856	30.07.98	PCT			
	* 20	WO 98/51793	19.11.98	PCT			
	* 21	WO 99/37684	29.07.99	PCT			
	* 22	WO 99/64461	16.12.99	PCT			
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Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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## LIST OF DISCLOSURES CITED BY APPLICANT

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## OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

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DEC 24 2003

Sheet 3 of 6

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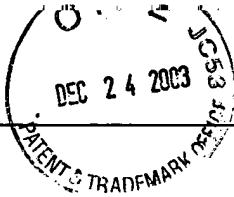
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LIST OF DISCLOSURES CITED BY APPLICANT (Use several sheets if necessary)				Applicant Ashkenazi et al.	
				Filing Date 11 Sep 2003	Group
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)					
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Examiner				Date Considered	
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## OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

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